

SNOHOMISH COUNTY SUPERIOR COURT

ADMINISTRATIVE RECORDS

RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

This schedule applies to all employees of Superior and Juvenile Court

Scope of records retention schedule

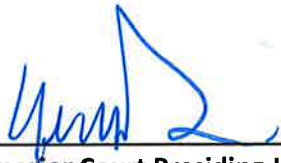
This records retention schedule authorized the destruction/transfer of public records documenting common function and activities within Superior and Juvenile Court.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for a minimum retention period as specified in this schedule. Public records designated as ARCHIVAL must not be destroyed.

Authority

This records retention schedule is approved by Snohomish County Superior Court Presiding Judge and Superior Court Administrator in accordance to RCW 40.14.070.



Superior Court Presiding Judge



Date

Superior Court Administrator

12.15.15

Date

SNOHOMISH COUNTY SUPERIOR COURT

ADMINISTRATIVE RECORDS

RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

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ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Court Administration</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: 5
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen <hr/> 6a. Phone: 425-388-3798 6b. Email: marilyn.finsen@snoco.org	
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE: 		

GENERAL RECORDS COMMON TO COURT ADMINISTRATION

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Transitory Records: This category includes records that document information of temporary, short-term value, provided that they are: Not needed as evidence of business transactions; and, Not covered by a more specific record series. Examples: Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, holidays, etc.); Preliminary drafts of letters, memos, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of a record document(s); Routing slips used to direct the distribution of documents; Shorthand notes, stenotype tapes, and mechanical records after they have been transcribed into typewritten or printed form on paper or microfilm; Telephone messages (including voicemail, digital voice messages, etc.) Letters of transmittal which do not add any information to the transmitted materials.	Dispose of when no longer needed		All	GS50-02-05	Routine correspondence or other documents having short-term value and which are (1) not an integral part of administrative or operational records file, (2) not required to sustain administrative or operational functions, (3) not regularly filed under a standard records classification system, (4) not required to meet statutory obligations, and (5) recorded only for the time required for completion of actions or ongoing records associated with them.

GENERAL RECORDS COMMON TO COURT ADMINISTRATION

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Administrative Procedures and Instructions:</u> Internal procedures and instructions that provide guidance on any routine internal procedure or protocol required for day to day operations. Includes administrative orders, human resource guidelines, policies, procedures, desk/training manuals and orientation materials. NOTE: The state allows these to be destroyed once they have been updated and the County recommends two years. The Superior Court Bench chose to keep these for <u>12 Years</u> after they have been updated, for historical reference.	<u>12 Years</u> after they have been superseded	Permanent as adopted – one copy to archival after retention	Court Administration	GS50-01-01	
	<u>Contracts, MOUs and other Agreements:</u> The activity of managing contracts and agreements entered into by the agency and the processes involved in the development of such contracts and agreements. Includes but not limited to general contracts, agreements and warranties that document legal obligations and responsibilities of the county. Original located in Court Administration (working copy in Finance).	6 years after completion of transaction	Keep for 1 year on-site; Archive then destroy after 6 years.	Court Administration	GS2011-169	
	<u>Emergency/Disaster Preparedness and Recovery Plans:</u> Emergency and disaster COOP preparedness, response, and recovery plans prepared for any aspect of the agency's operations and assets. Employee emergency plans in accordance with WAC 296-24-567; Essential records list.	6 years after they have been superseded		Court Administration	GS50-14-03	

GENERAL RECORDS COMMON TO COURT ADMINISTRATION

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Agency Publications – Master Files:</u> Includes annual reports, public presentations, program brochures/handbooks. Retain for as long as needed for Court business and then arrange for appraisal by the Snohomish County DIS. Tapes and publications translated by Interpreter Services may be considered a master file and should be assessed for archival value. NOTE: At least one copy of the Annual Report should be retained by the Administrative Assistant to the Court Administrator.	Contact the Snohomish County DIS for appraisal when no longer needed for agency business	ARCHIVAL	Court Administration	GS50-05A-04	Annual Report Adopted Permanent
	<u>Citizen Complaints or Requests:</u> Communications from citizens making a complaint or request for court action, as well as the associated court response.	3 years after issue resolved; then destroy		Court Administration	G50-01-09	Exclusion Code GS 2012-026 (6 years)
	<u>Calendars:</u> Working files containing copies of information for reference.	2 years after end of calendar year		All	GS50-01-02	
	<u>General Records:</u> Office Communications, Meetings, Unit/Working Files: Records created, received and used by staff when communicating within and outside the court on general topics related to the business of the court and the conduct of general office meetings. ('Staff' excludes the Court Administrator, Assistant Administrators and Managers). Records may include but are not limited to: general correspondence; staff meeting minutes and agendas; administrative procedures and instructions; forms and templates; training availability announcements and notices; mailing lists; (personal, daily court, omnibus, criminal and civil). Search Warrant Log: Those sealed and unsealed files containing search warrant applications, returns, and other data.	2 years after end of calendar year		All	GS50-01-02	

GENERAL RECORDS COMMON TO COURT ADMINISTRATION

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Meetings: All meeting minutes and related documents for standing committees that serve an advisory role, including but not limited to criminal, civil, jury, interpreter, human resources, and budget committees. Excludes Judicial Committees and meetings of the full bench.	6 years after the end of the calendar year	ARCHIVAL	Court Administration	GS2011-175	
	Project Files – Minor: Records / document projects that are done for specific purposes and/or to address internal issues primarily for Superior Court. These include work plans, business case plans, preliminary consultant studies, and related budgets and financial analysis. Minor projects generally are specific in nature, do not have major lasting impacts or consequences as a result of significant change, and may need to be updated from time to time at which point the original project becomes obsolete. Example: A compensation study would be completed before it becomes obsolete due to being updated, so the retention would be 6 years after it was updated. This standard is used because it is known that the project will eventually be updated.	2 years after project completed or updated, whichever is longer	Potential archival value	All	GS50-01-39	
	Consultant-Produced Studies: This category covers the final publication in projects where the deliverable (product) is consultant research/program reports, studies, surveys, models and analyses. This category holds only the final publication of the report resulting from the activity of researching, studying, surveying, modeling and analyzing agency program data. Background research.	6 years after obsolete or superseded	ARCHIVAL	Court Administration	GS50-01-32	

GENERAL RECORDS COMMON TO COURT ADMINISTRATION

8. LIST OF RECORDS SERIES

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	<u>General Public ADA accommodations, requests & results - not case related:</u> Citizens' Complaints and Requests for Court Action; Communications from citizens making a complaint or request for Court action, as well as the associated Court response. Requests that are made related to a case would be filed with the Clerk's office in the official legal file.	6 years after final action	Archive to DIS records division	Court Administration	GS50-04C-04	
	<u>Public Disclosure and Records Requests:</u> A records request, as well as the file that documents the Superior Court's response to the request, filed under the Washington State Court Rule GR31.1. Content examples include original request and all subsequent correspondence with requesters, directives to staff associated with record collection, attorney-client privileged communications associated with the public records request, copies of the records disclosed, copies of records redacted or withheld from disclosure in their entirety, and withholding and/or redaction logs.	2 years after end of year in which the request was completed then destroy		Superior Court Public Records Officer(s)	GS 010-014 GR31.1	
	<u>Official Court Policy and Procedure Directives, Regulations and Rules:</u> Officially adopted policies, procedures or public rules affecting the entire agency including administrative guidelines for personnel management. Activated through the Court Administrator's signature.	Transfer to the Snohomish County DIS after 6 years after superseded (permanent signed copy)	Archive to DIS Records Division	Court Administration	GS50-01-24	
	<u>Public Disclosure Logs:</u> Records documenting the tracking of public records requests made in accordance with Washington State Court Rule GR31.1.	3 years		Court Administration	GS50-09-13	
	<u>Legacy Records:</u> Paper/Hard Copy - Historical documents of the Court, i.e. Judges history, Judicial biographies, photos, election filing information.	Retain one copy permanently		Court Administration	GS50-09-13	

ADMINISTRATIVE RECORDS

RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: Superior Court / Superior Court Operations		2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: 4
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201		5. Superior Court Administrator: Marilyn Finsen	
		6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:			

GENERAL RECORDS COMMON TO COURT OPERATIONS

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
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ARBITRATION

	<u>Correspondence or other documents related to specific case:</u> Strike List; 23 calendar days from the date the arbitrators award & proof of services (appeal time is exhausted). Obsolete 1 month after the resolution of the case by award or settlement.	Until time for filing appeal from arbitration award has expired.		Court Admin	CL65-01-3	
	<u>Arbitration Files:</u> Any data pertaining to a county's mandatory arbitration, to the extent that the data within the arbitration file do not make a part of the case file.	Until time for filing appeal from arbitration award has expired.		Court Admin	CL65-01-3	
	<u>Arbitrator Qualifications:</u> Pre-2000 history is available from SCOMIS; 2000 forward migrated to SharePoint. Listings of individuals eligible to fill specific positions. Includes practice history. Also includes examinations of those applicants that are on eligibility lists, but have not been hired. See Contracts, MOUs & other Agreements.	6 years after termination of contract		Court Admin	CL65-01-3	

GENERAL RECORDS COMMON TO COURT OPERATIONS						
8. LIST OF RECORDS SERIES						
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	COURT OPERATIONS					
	SharePoint Files: Judge trades, Law Clerk on-call, Commissioner vacations, JIS log	Transitory, 30 days, then destroy		Court Admin		
	Oaths: Daily (Protem): Oaths signed as part of the position. Similar to oaths signed by deputies to other elected officials. May be a part of a miscellaneous electronic (civil) file.	Filed with Clerk immediately		Clerks	CL65-01-32	Original in Court File
	Oaths: Annual (Protem): Oaths signed as part of the position. Similar to oaths signed by deputies to other elected officials. May be a part of a miscellaneous electronic (civil) file.	Termination plus 6 years		Court Admin	CL65-01-32	Original located in Admin File - copy filed with the Auditor
	Oaths: Elected Officials: Oaths signed at beginning of elected term. Oaths signed as part of the position.	Termination plus 6 years		Court Admin	CL65-01-32	Original located in Admin File - copy filed with the Auditor
	Oaths: Commissioners: Oaths signed on first date of employment. Oaths signed as part of the position.	Termination plus 6 years		Court Admin	CL65-01-32	Original located in Admin File - copy filed with the Auditor
	JURY					
	Juror Biographical Forms: Electronic and/or hard copy questionnaires completed by the juror.	90 days, then destroy		Clerk	CL65-01-027 Rev. 1	
	Juror Excusal Requests and Correspondence: Requests may be in hard copy or electronic JMS or outlook systems. Records may include confidential medical information.	Retain until superseded, then destroy		Clerk	CL65-01-027 Rev. 1	
	Attendance Record - Juror: Office record of juror daily attendance, mileage, and reimbursable expenses, used to prepare a cost bill for juror payments.	Retain 6 years after the end of the fiscal year then, destroy		Clerk	GS 2011-184 Rev. 0	
	High Profile/Death Penalty Cases - Juror: Retain for historical purpose.			Clerk	CL 2014-016 Rev. 1	

GENERAL RECORDS COMMON TO COURT OPERATIONS						
8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	INTERPRETER					
	<u>Interpreter Information Files:</u> File includes documents to verify interpreter contractor's qualifications and/or certifications. Retention is based on this being the primary proof of qualifications. Termination means the last day the interpreter worked for the court.	6 years after termination of service				
	<u>Interpreter Scheduling Records:</u> Interpreter case assignments/availability sheets. These records are maintained in the interpreter scheduling system.	2 years after end of calendar year				
	<u>Language Bank Source List:</u> This is a record of interpreter contact information to be used as a resource for the court and as a source of referral information for external parties. Hard-copy notebook.	2 years after end of calendar year				
	<u>Case Assignments:</u> File includes a record of all case events that the interpreter worked on. This information is maintained in the Interpreter database.	2 years after end of calendar year		Clerk		

GENERAL RECORDS COMMON TO COURT OPERATIONS

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
CIVIL AND CRIMINAL OPERATIONS						
	Availability Sheets: Determined on a weekly basis.	Retain until no longer needed for agency business			GS50-02-02	
	Calendars: Working files containing copies of information for reference (not governing advisory, executive).	2 years after correspondence sent or received		Court Admin	GS2010-001	
	Judicial availability - Trial assignment sheet: This category represents records created, received and used when communicating within and outside the court on general topics related to the business of the court and the conduct of general office meetings. Records may include but are not limited to: general correspondence (not executive, elected officials or department heads); meeting minutes and agendas (not governing or advisory council, commission or board); administrative procedures and instructions (not official agency policy); forms and templates; training availability announcements and notices; mailing lists.	2 years after correspondence sent or received		Court Admin	GS2010-001	
	Case Flow: Reports	TBD		Court Admin		
	Custody Investigations - Family Court Investigations: Department working files containing copies of marriage and dissolution orders, custody order, petition and show cause orders, and reports of custody investigations, together with medical psychological reports.	Retain for 5 years after individual reaches age 18 then Destroy.		Court Admin	SS50-28-02 Rev. 0	

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Superior Court Operations</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: <div style="text-align: right;">1</div>
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO COURT REPORTERS

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Transcript of Judgment: May be discontinued record; an index of or copies of judgments filed with the Clerk (not to be confused with transcripts from District Court or abstracts from other Superior Courts).	PERMANENT - Potential archival value – See remarks		Clerk	CL65-01-42	Please contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred and preserved in the Regional Archives. This record series should be protected from loss or damage by storage of a security backup. Destroy after transfer to an approved alternative storage medium has been verified; before transfer, it is recommended that electronic docket entry "copy case" (if any) be printed and placed in the case file as the first viewable document.

GENERAL RECORDS COMMON TO COURT REPORTERS

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Court Reporters/Recorder Notes/Tape/Diskettes: Paper record or approved electronic storage of record of court proceedings, including audio and video records.	<i>MINIMUM - CIVIL:</i> Termination of case plus 6 years <i>MINIMUM - CRIMINAL:</i> Termination of case plus 15 years / <i>MINIMUM - CAPITAL PUNISHMENT:</i> Until death of defendant <i>TRANSCRIPT OF JUDGMENT:</i> Permanent			CL65-01-12 RCW 36.23.070, and SPRC7	Reference RCW 36.23.070, and SPRC7 Electronic notes must be backed up, migrated and delivered to the clerk in a format that is approved by the State Archives as set forth in statute or administrative code. The clerk may require paper notes if no appropriate environment for storage of electronic data is available to the clerk. Court reporting machines that have no backup mechanism are not recommended.
	Verbatim report of proceedings: Written transcript of the proceedings or stipulated statement prepared for transmittal to the Court of Appeals. The original transcript is docketed in electronic docket entry and sent to the Court of Appeals. A case file may contain transcripts of certain proceedings or portions of the proceedings and become part of the case file. Transcripts or tapes are sent to the appellate court, are not kept with the Superior Court case file, and are not returned from the appellate court.	Retain until court order authorizing transfer or destruction of records(s) has been signed and entered and provide 60 days' notice pursuant to Criminal SPRC7, if applicable then as ordered by the court, Contact WSA for appraisal and selective retention		Court Reporter/ Clerk	CL65-01-44	

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Judicial (Administrative)</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: <div style="text-align: right;">2</div>
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO JUDICIAL (Administrative)

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Judicial Meetings – Full Bench and Committee (with staff):</u> Meeting minutes and related documents for standing committees.	15 years for historical purpose		Court Admin	GS50-05A-13 Rev.3	Exempt from disclosure under GR 31.1(l)(2)
	<u>Local Court Rules /Preliminary drafts:</u> Applies before a decision is made.	Delete drafts when rule becomes permanent		Court Admin		Exempt from disclosure under GR 31.1(l)(3)
	<u>Court Calendars/ Schedules:</u> Commissioner, Juvenile Court, Ad Hoc, Judicial Work Schedule, Judges Weekly Schedules.	Destroy when obsolete or superseded		Court Admin Clerks	GS 50-1-08 Rev. 0	
	<u>Recruitment File for Law Clerk/Bailiff/Court Reporter:</u> Resume, cover letter, writing samples, references.	6 months from receipt of submission		Court Admin		GS50-04B, 16,17,18,22. Rev.0 Evaluation and recommendations concerning candidates for employment are not subject to disclosure under GR 31.1(l)(4).

GENERAL RECORDS COMMON TO JUDICIAL (Administrative)

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Personnel File for Law Clerk/Baliff/Court Reporter.</u> Offer letter, letter of resignation, new employee checklist, oaths.	6 years after separation		Court Admin		GS50-04B-06, Rev. 2 Exempt from disclosure under GR 31 (5)- if the following are maintained in Court Admin files: Home contact information, social security number, drivers license, identification/security photographs.
	<u>Judicial Personal Identifying Information:</u> Home contact information, social security number, identification/security photographs.	Permanent for historical		Court Admin		Exempt from disclosure under GR 31.1(5) If the following are in Court Admin files: Home contact information, social security number, drivers license, identification/security photographs.
	<u>Internal Complaints/Investigation Conclusions Conducted by Judicial Officers</u>	6 years after separation		Court Admin HR		While an investigation is ongoing, the records are exempt from disclosure under GR 31.1 (I) (7). The outcome of a complaint/investigation is not exempt (complaint/investigation summary/results and conclusions).

ADMINISTRATIVE RECORDS**RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION****SNOHOMISH COUNTY SUPERIOR COURT**

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Judicial (Chambers)</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: 1
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO JUDICIAL (Chambers)

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	GR 31.1(m)(1) "Court records" and "Chambers records" are not public records under GR 31.1 and thus, do not have to be searched, gathered, or processed under the provisions of GR 31.1(b)(1) and (3).					Not Subject to Public Records Act Per 31.1

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Technology</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: <div style="text-align: right;">2</div>
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen <hr/> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> 6a. Phone: 425-388-3798 </div> <div style="width: 45%;"> 6b. Email: marilyn.finsen@snoco.org </div> </div>	
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO TECHNOLOGY

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>IT Project Files:</u> Covers all IT projects, and includes Capital Improvement Projects. Applies only if DIS is not the project originator.	10 years after project completed			GS50-01-39	Project Files / GS50-01-39 Rev. 1
	<u>Access Authorizations:</u> Records documenting the authorization of employee (includes contractors and volunteers) access to agency systems, networks, applications, records, and data. Includes, but is not limited to: requests and approvals for access and permissions. Only if DIS is not the originator with originals.	6 years from termination of user's access or system is no longer in use			GS2010-002	Authorization – Employee Access (Network/System/Data) – Employee / GS2010-002 Rev. 1
	<u>Applications - Technical Design and Implementation:</u> Records documenting the technical design and implementation of the agency's computer software applications, databases and websites (internet and intranet). May include any or all of the following: Design documentation/detail; database schema and dictionaries; source code; system and program change descriptions/authorizations; development plans (for testing, training, conversion, and acceptance); release notes; operational and user instructions; and acceptance testing.	Dispose of when application or version is no longer needed for agency business and all records within the application have been migrated or disposed in accordance with approved retention schedule			GS50-06A-03R	Applications – Technical Design and Implementation /GS50-06A- 03R

GENERAL RECORDS COMMON TO TECHNOLOGY

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Electronic information systems - applications, planning and review:</u> Records documenting the planning and post implementation review of the agency's computer software applications, databases and websites (internet and intranet). Includes, but is not limited to: Requirements and objectives documents/statements; feasibility studies; charter, cost/benefit analyses, investment plans; post-implementation reviews/evaluations/recommendations.	6 years after project completed			GS50-06A-01	Applications – Planning and Review /GS50-06A-01 Rev. 2
	<u>Helpdesk Requests:</u> Records relating to employee (includes contractors and volunteers) requests for advice and assistance in using information systems and applications.	1 year after end of calendar year			GS50-06A-05	Helpdesk Requests /GS2010-005
	<u>Online Content Management:</u> Records documenting the publishing of the agency's online (internet and intranet) content. Includes, but is not limited to: Requests/approvals to upload/update/remove content; confirmation of content upload/update/removal; point- in-time record of webpage/site (screenshot, snapshot, site map). Note: All published content consists of individual records which have their own separate retention requirements. Each of these records must be retained for the current approved minimum retention period(s) according to the applicable retention series.	1 year after online content is removed			GS2010-007	Online Content Management /GS2010-007

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: Superior Court / Drug Courts	2. DATE APPROVED Pending	3. NUMBER OF PAGES: 2
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org

7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:

GENERAL RECORDS COMMON TO DRUG COURT PROGRAMS

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
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ADULT and FAMILY DRUG TREATMENT COURTS - Superior Court

	Drug Treatment Courts Case Management Files - GRADUATES: Liaison documentation between Court, Drug Treatment Agencies and other documentation supporting client participation. Clients are accepted to program pre-adjudication. These clients graduated from the program. Media are paper, emails and electronic database files.	3 years after graduation		Superior Court	DM52-06A-03	
	Drug Treatment Courts Case Management Files - TERMINATED CLIENTS: Liaison documentation between Court, Drug Treatment Agencies and other documents supporting client participation. Clients are accepted to program pre-adjudication. These clients DID NOT graduate from the program. Media are paper, email and electronic database files. These clients have waived their trial rights, are sentenced and go to jail. All legal financial obligations are in effect. A new separate file will be created if the client qualifies for program again in the future.	5 year after termination		Superior Court	DM52-06A-03	

GENERAL RECORDS COMMON TO DRUG COURT PROGRAMS

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
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JUVENILE DRUG TREATMENT - Juvenile Division

	<p><u>Drug Treatment Court Case Management Files - Terminated:</u> <u>Offenders:</u> Liaison documentation between Court, Drug Treatment Agencies and other documentation supporting client participation. Clients are accepted to program pre-adjudication. These clients terminated from the program. Media are paper, email and electronic database files. <u>Status Offenders:</u> Liaison documentation between Court, Drug Treatment Agencies and other documentation supporting client participation. Clients are accepted to program by parent petition for at risk youth. These clients terminated from the program. Media are paper, email and electronic database files. A new and separate file will be created if client qualifies for program again in the future.</p>	Dispose of when youth is 23 years of age		Juvenile Court		
	<p><u>Drug Treatment Court Case Management Files - GRADUATES:</u> <u>Offenders:</u> Liaison documentation between Court, Drug Treatment Agencies and other documentation supporting client participation. Clients are accepted to program pre-adjudication. These clients graduated from the program. Media are paper, email and electronic database files. <u>Status Offenders:</u> Liaison documentation between Court, Drug Treatment Agencies and other documentation supporting client participation. Clients are accepted to program by parent petition for at risk youth. These clients graduated from the program. Media are paper, email and electronic database files. A new and separate file will be created if client qualifies for program again in the future.</p>	Dispose of when youth is 23 years of age		Juvenile Court		

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Human Resources</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: <div style="text-align: center;">9</div>
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>ADA Accommodations, Requests & Results – Employees:</u> Records relating the court’s compliance with Section 504 of the Rehabilitation Act of 1973 which requires that qualified individuals with disabilities have equal opportunity to benefits and services. Records may include applications, agreements, surveys, reports, notifications, meetings, communications, training materials, etc. Documentation of employee requests for an agency's provision of reasonable accommodations for employees with special needs.	30 years after completion of accommodation	Transfer to records center 6 years after separation	Human Resources	GS50-04C-04	GS 03011, Rev. 0 State Core 3.0 recommends 6 years after completion of accommodation

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<p><u>Classification and Compensation:</u></p> <p><u>Reclassification:</u> Reviews are requested by individual or agency to reclassify a position or review a salary range and may include Position Description Questionnaire (PDQ), recommendation, allocation report, copies of position specifications. Studies are details on specific role and position of classification titles, duties and obligations and may include PDQ, surveys, audit form, reports, and other supporting documentation. Specifications are details on the function of position, including special duties, requirements, and qualifications for each position. Includes benefits and salary surveys and studies; spreadsheets and reports. This rule has been amended to extend the retention period from 6 to 60 years. The limitations of actions for gender and wage discrimination was extended by the Ledbetter Act passed in January 2009.</p>	60 years after separation	Transfer to the records center 6 years after end of calendar year	Human Resources	GS50-04B-07	GS50-04B-07 & 08, Rev. 0 State Core 3.0 recommends destroy when obsolete or superseded plus 6 years
	<p><u>EEO Complaints:</u></p> <p>Documents EEO investigations regarding allegations of employment discrimination, including harassment and retaliation. This record series is retained in excess of the state minimum of 6 years to accommodate limitations of actions for civil litigation.</p>	10 years after case closed		Human Resources	GS50-04C-05	GS53-02-04 State Core 3.0 recommends 4 years after submitted to regulatory agency then transfer to WA State Archives for appraisal and selective retention
	<p><u>Employee Corrective Action / Disciplinary Actions:</u> This disposition number covers documentation regarding employee corrective actions or probation; the investigation reports piece is covered by PER-08-005. Part of the employee file.</p>	6 years after separation		Human Resources	GS50-04B-46	

GENERAL RECORDS TO COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

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	Employee Misconduct Investigation Files – Unfounded: Documentation compiled in official investigations of employee misconduct by the employee that does not result in findings of misconduct. May include the complaint initiating the investigation, investigative reports, statements, taped information, corrective actions, correspondence, and notes.	6 years after separation		Human Resources	GS50-04B-46	GS50-04B-47, Rev. 1
	Employee Leave Management: Records administration of leave donations and requests for leave and overtime. Cumulative leave, leave balances, etc. are managed in the county payroll system. Records in this category support transactions in the payroll system.	6 years after end of calendar year	For FMLA requests see Family Medical Leave Act (FMLA) Requests	Human Resources and Payroll		
	Employee Misconduct Reports and Investigation Files – Sustained: Documentation compiled in official investigation file of employee misconduct, include the complaint initiating the investigation, investigative reports, statements, taped information, correspondence, and notes. This series only covers investigation records and report; any corrective or disciplinary action is placed in the employee's personnel file. PER-08-005 includes investigative reports; PER-08-007 covers documentation regarding employee corrective actions or probation. Official reports on findings of misconduct by Court employees and corrective actions taken by the agency retained as part of the employee's personnel file.	6 years after separation		Human Resources	GS50-04B-46	GS50-04B-46, Rev. 1

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<p>Employee Polygraph Tests - Hired: May include but is not limited to: Application for employment when hired including consumer reports (which include background checks, credit reports and criminal history reports*).</p> <p>*See PER-10-002: All consumer reports for hired employees should be maintained as part of the official personnel category but in a separate "confidential" file. For applicants not hired, the consumer reports retained in a separate file as part of the recruitment category.</p>	6 years after separation		Human Resources		
	<p>Employee Polygraph Tests – Not Hired: Includes all consumer reports (which include background checks, credit reports and criminal history reports) for applicants not hired should be retained in a separate file.</p>	3 years after selection of successful candidate		Human Resources		
	<p>Family Medical Leave Act (FMLA) Requests and Shared Leave: Records document paid and unpaid FMLA leave and reduced work schedules. May include employee request form, dates leave taken, basic payroll and employee data related to the request, medical certifications and fitness for duty certifications. Also may include shared leave donation information and career shared leave.</p>	7 years after separation		Human Resources	Non-Archival	GS 03034, Rev. 0
	<p>Grievances and Appeals: Documentation of employee grievances, investigations, appeals and final decisions.</p>	6 years after resolution		Human Resources	GS50-04E-03	
	<p>I-9 Forms: Documents used to verify employment eligibility within the United States. Series may include: Federal I-9 forms, passport copies, copies of valid driver's license, copies of certificate of naturalization, etc. I-9s are stored in a single file in County HR, no copies are kept in Superior Court files.</p>	3 years after separation		Human Resources	GS50-05A-26	

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

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	<u>Labor Agreement Administration:</u> Documentation of the business activity of administering a labor agreement.	6 years after termination of contract		Human Resources		
	<u>Labor Agreement Negotiation, Implementation and Compensation Management:</u> Documents the business activity of negotiation, implementation and compensation for labor agreements. Can include; copies of compensation and benefit surveys, reports and analysis. Correspondence between internal and external agencies for example, Joint Labor Insurance Management Committee for the purpose of receiving input into the development of labor agreements.	60 years after termination of contract		Human Resources		GS50-04B-07 & 08, Rev. 0
	<u>Labor Agreements – Wage Related:</u> Official labor agreement as approved by Snohomish County Council ordinance; includes wage addendum.	6 years after termination of contract		Human Resources	Archival	GS50-01-50, Rev. 0
	<u>Labor Agreements – Working Conditions:</u> Official labor agreements related to employee working conditions as developed by Court labor negotiators and approved by Snohomish County ordinance. Agreements related to working conditions are not negotiated through the Office of Labor Relations.	6 years after termination of contract		Human Resources	Archival Essential	GS50-01-50, Rev. 0
	<u>Litigation/Union Arbitration Files:</u> Arbitration, Personnel Board hearings and Public Employment Relations Commission (PERC) hearings.	10 years after resolution		Human Resources	Non-Archival Non-Essential	GS50-04E-06, Rev. 0
	<u>Performance Appraisals and Merit Awards:</u>	6 years after separation	Personnel file	Human Resources	Non-Archival Non-Essential	GS50-04A-08, Rev. 1

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<p>Personnel Files: Application for employment when hired including consumer reports (which include background checks, credit reports and criminal history reports*); start of employment, identification, oaths of officials elected and appointed; bonds of officials elected and appointed; criminal history, background checks; records of employment status, position description and job classification; citations; letters of recommendation; raises; retirement or disability resulting in employment termination; evaluation of applications of recognition or non-college credit courses.</p> <p>* See also: PER-10-002: All consumer reports for hired employees should be maintained as part of the official personnel category but in a separate "confidential" file. For applicants not hired, the consumer reports should be retained in a separate file as part of the recruitment category. Supervisor files have same retention schedule and are to be archived in-house after employee termination in HR.</p>	6 years after separation		Human Resources	Non-Archival Essential	GS50-04B-06, Rev. 2
	<p>Recruitment Files: Documents the recruitment and selection process for each advertised position, including newspaper announcement, job description, working papers/notes, applicant list, interview questions and notes, selection documents, and employee applications.</p> <p>See: PER-06-002 All consumer reports (which include background checks, credit reports and criminal history reports) for applicants not hired should be retained in a separate file. All consumer reports for hired employees should be maintained as part of the official personnel file, but kept in a separate "confidential" file.</p>	3 years after selection of successful candidate		Human Resources		GS50-04B-01, 16, 17, 18, 22 , Rev 0

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Whistleblower Investigation Reports (Sarbanes Oxley):</u> Agency copies of investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.	6 years after case closed		Human Resources	Non-Archival, Non-Essential OPR	GS50-04B-25, Rev. 0
	<u>Workplace Violence Case files:</u> Documentation of incidents involving internal workplace violence. Includes investigation, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file.	6 years after case closed		Human Resources	Non-Archival, Non-Essential OFM	GS50-05A-24, Rev. 0

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<p><u>Agency Provided Training -Certified, Hours/Credits Earned, or Mandatory:</u></p> <p>Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, or agency employees, where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses may be awarded; or, • Continuing education hours/credits/points may be earned; or • Training is required by federal, state or local statute, and/or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc.; • Attendee lists and sign-in sheets, test results, evaluations, etc.; • Certification/hours/credits/points awarded. <p>Agency-provided training includes, but is not limited to:</p> <ul style="list-style-type: none"> • Continuing legal education (CLE) credits, etc.; • Certification (and recertification) such as Emergency Medical Technician (EMT), Certified Municipal Clerk (CMC), cardiopulmonary resuscitation (CPR), disaster response/emergency preparedness, first aid, lifeguard, child care, etc.; • Recreational courses with marked levels of achievement <p>Excludes records covered more specifically in CORE or sector schedules such as:</p> <ul style="list-style-type: none"> • Hazardous materials training covered by GS2012-029 or UT2012-005; • In-service education programs (clock hours) covered by SD51-04G-01; • Hazardous materials trained personnel list covered by GS50-19-09; • Apprentice certification files covered by GS50-04B-34; <p>Employee training certificates/history retained in personnel or training history files.</p>	6 years after training is provided		Human Resources	GS2011-180	

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Affirmative Action Plans: The Court's plans are officially completed and submitted inclusive with the County. However, for specific grants and for our own due diligence, we create plans and reflect our workforce on a periodic basis.	Keep until superseded plus 6 years	Transfer to the records center and then destroy after 6 years.	Human Resources	GS550-04C-03, Rev. 0 & GS550-01-54, Rev. 0	GS550-04C-03, Rev. 0 & GS550-01-54, Rev. 0
	Volunteer Files: Documents work service of individual volunteer. Includes application.	Keep until superseded plus 6 years	Transfer to the records center and then destroy after 6 years.	Individual unit		GS550-04B-10, Rev. 0

GENERAL RECORDS COMMON TO HUMAN RESOURCES

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Employee Medical Records – General: Records documenting the medical condition of employees (includes contractors and volunteers), their physical condition, the effects of workplace conditions on their health, and their physical ability to perform essential job functions. Note: Health insurance claims records are retained separately with jurisdiction by County HR.	Retain for 30 years after termination of employment, then destroy	Transfer to the records center and then destroy after 30 years.	Human Resources		GS50-04B-30, Rev. 1
	Ergonomic Files: Ergonomic files document the analysis, action, and measures taken to adjust workplace environment to help prevent work-related injuries. Files include name of employee, supervisor, organization unit, location, and action taken to adjust workstation or environment.	Last action taken plus 3 years		Human Resources	Non-Archival, Non-Essential, OFM	GS51-05D-11, Rev. 0
	Job Descriptions: Current statement of qualifications, responsibilities, and duties of each individual position.	Destroy when obsolete or superseded plus 6 years		Human Resources	Non-Archival, Non-Essential, OPR	GS50-04B-05, Rev. 0
	Organizational Charts: Diagrammatical representations of the structure of the agency and internal reporting relationships.	Retain until superseded		Human Resources	Archival, Non-Essential, OPR	GS2012-049, Rev. 0

ADMINISTRATIVE RECORDS
RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION
SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: <i>Superior Court / Finance</i>	2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: <div style="text-align: center;">3</div>
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201	5. Superior Court Administrator: Marilyn Finsen	
	6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:		

GENERAL RECORDS COMMON TO FINANCE

8. LIST OF RECORDS SERIES						
8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	Accounts Payable Documents: Includes all data relating to payment including, warrants, electronic transaction credit card payments, payment authorizations and backup documentation.	6 years after end of calendar year	Keep for 1 year on-site; Archive then destroy after 6 years.	Finance	GS2011-184	
	Budget Working files: Budget development and working files that provide background for the departmental budget request. Also includes the final budget requests, work plans, and business plans sent to the Executives' Office for submission to the Snohomish County Council, Office of Management and Budget (working files are transitory).	2 years after end of calendar year		Finance	GS50-03D-07	State CORE 3.0 recommends 2 years NON-ARCHIVAL

GENERAL RECORDS COMMON TO FINANCE

8. LIST OF RECORDS SERIES

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	Employee Payroll files: Includes social security numbers. Includes various tax forms such as 1099s, Employer Copies of Federal Withholding Tax Statement W-4s and others that would include employee social security numbers. Files are kept by the Administrative Services for a minimum of 6 years. Documentation is primary pay related. Payroll Register: Identifies pay history and pay registers with a longer retention period for retirement benefit purposes. For internal research purposes, we keep these reports for 7 years because the detail on the reports are not available electronically at the department level. Original documents are kept by central county payroll. The State retention rule is 3 years.	3 years after separation Between 3-6 years, depending on item		Finance; County HR		CORE recommends 3 years
	Grant Files: Award and billing documentation, grant contracts and grant project reporting. Includes annual financial status reports, final grant expenditure reports, financial supporting documents - for both continuing and non-continuing grants. It also includes grant project warrants, checks and vouchers, and warrant check and voucher registers for grant funds. Also includes grant agreements, approved grant applications, grant project reports and statistical documentation around grants.	6 years after grant closed out		Finance	GS50-03C-07	

GENERAL RECORDS COMMON TO FINANCE

8. LIST OF RECORDS SERIES

8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks (original documents)	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)
	<u>Grant Applications-Denied:</u> Records include grant proposals and applications submitted by or to the county that did not receive funding. May include applications, project proposals and narratives, evaluations, correspondence, notes, etc. Court Admin Designee.	1 year after denial or withdrawal		Finance		
	<u>Hours Register:</u> Identifies pay history and pay registers with a longer retention period for retirement benefit purposes. Working copies are transitory.	1 year on-site / original with County Finance		Finance		
	<u>Inventory - Changes & Final Report:</u> Official inventory records are kept by central finance, so research is available beyond 3 years.	3 years after superseded / 4 years per CORE	For grant funded asset inventory see <u>Grant Files</u>	Finance		
	<u>Journal Entries and Interfund Transfers:</u> Records may include but are not limited to: receipts, vouchers, accounts payable/accounts receivable supporting documents, cash account documentation, purchase/field orders, general/subsidiary journals, and bank deposit records.	6 years		Finance		
	<u>Leave Donations:</u> Records documenting the receipt and donation of leave for medical emergencies.	4 years after termination of leave		Finance		
	<u>Leave / Overtime Requests:</u> Electronic and paper spreadsheets and other working documents that lead up to the final time reports used for paying employees. Records to be managed by individual department timekeepers. Includes but isn't limited to: Benefit Detail Reports. This category does not include the official payroll time report transmittal sent by departments for each pay period, noting pay due employees and the signed authorization. The official time record is retained under County Finance Department payroll - Time Cards/Time Sheets. The state minimum is 3 years, but Snohomish County keeps them for 6 years.	4 years after end of calendar year	Destroy pursuant to county retention schedule	Court Administration	G50-04B-09	

ADMINISTRATIVE RECORDS

RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

SNOHOMISH COUNTY SUPERIOR COURT

1. DEPARTMENT/DIVISION/SECTION NAME: Superior Court / Juvenile Court Operations		2. DATE APPROVED <i>Pending</i>	3. NUMBER OF PAGES: 9
4. ADDRESS: (PO Box or Street, City and Zip Code): Snohomish County Superior Court 3000 Rockefeller Ave, M/S 502 Everett, WA 98201		5. Superior Court Administrator: Marilyn Finsen	
		6a. Phone: 425-388-3798	6b. Email: marilyn.finsen@snoco.org
7. SUPERIOR COURT PRESIDING JUDGE'S SIGNATURE:			

GENERAL RECORDS COMMON TO DENNY JUVENILE JUSTICE CENTER

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8a. Item No.	8b. Title / Description	8c. Retention	8d. Archival Designation / Remarks	8e. Office of Primary Remarks	8f. Reference No. Policy, WAC, RCW	8g. State Records Series Title (Superior Court Use Only)

PROBATION / JUVENILE ADMIN / MEDICAL

	Becca - Client Case files: Assessments, orders, notes, etc.	Dispose of when youth is 23 years of age		Juvenile Court Services	RCW 13.50.050(22)	RCW 13.50.050(22) a requires file to be kept until youth is 23 years old.
	Becca - Client Case files: Truancy Files	Dispose of when youth is 23 years of age	No case notes maintained in social files. Upon Closure of case social files destroyed	Clerk	RCW 13.50.020(22)	
	Case-related records: Records associated with the administrative management of all types of cases. These may be stored in electronic databases such as JSC-01-002 Case Files: This category covers the activities of officially documenting Superior Court proceedings and filings and may include sealed documents, published depositions and exhibits. This category includes, but is not limited to: adult and juvenile criminal, civil, domestic, probate, tax warrant, tax case, territorial, territorial (mental) commitment, juvenile dependency/termination of parental rights and family court case files. Retention Rule is Case closed + 6. *PAO to provide guidance on appropriateness of code	Permanent*	Archival *records may be transferred to the Archives 6 years after case closed		CL50-28-10 p. 11 RCW 13.04.021 RCW 13.50.050	

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	<u>Diversion/PYJ - Diversion case files</u>	18 or 23 years of age		Juvenile Court Services	RCW 13.50.050(22)	RCW 13.50.050(22)a allows for records to be destroyed at 18 years old if diversion was completed 2 years prior, otherwise at age 23. Case file kept by the area secretary then sent to PYJ for destruction.
	<u>Diversions/PYJ - Secretary reports on CAB statistics: i.e., attendance and completion records:</u> Includes monthly reports from all 23 area secretaries noting who attended meetings and who has completed diversion. This is the only proof that a juvenile actually completed the diversion program if it is not correctly noted in JJWEB - which has happened. The State recommends destroying when obsolete.	2 years after end of calendar year		Juvenile Court Services		
	<u>Juvenile Probation: Social files - probation records files:</u> File sent to Records Archives when youth is 19, then destroyed at age 23. Case information remains on ECR unless expunged.	Dispose of when youth is 23 years of age		Juvenile Probation	SS50-28-13 GS50-28-13 RCW 13.50.050.(22)	Per RCW 13.50.050.(22)
	<u>Client Medical Records - Under Age 18:</u> Records created by the public health agency on a per-client basis to document health care services provided to clients under age 18. Includes, but is not limited to: clinical assessment and treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC; Medication administration records; Client treatment history; Dental records. Excludes mental health counseling records covered by HE2011-032. Excludes radiologic reports covered by HE2011-034. Excludes client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031.	Retain for 8 years after age 21			Non-Archival; Non-Essential OPR HE2011--30 Rev.0	Uniform Health Information Act of Washington State titled chpt. 70.02 Medical Records- health care information access and disclosure.

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	<u>Medical History Files</u>	5 years beyond age of 18		Juvenile Court Services	SS50-28-13 G50-28-12 RCW 13.50.050	RCW 13.50.050. The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meeting Washington State Archives technical standards.
	<u>Audio and Video Recordings of Juvenile Court Proceedings</u>	Until expiration of appeal period		Clerk	CL50-01-12 p. 7 GS50-28-01	
	<u>Daily Recordings of Juvenile Court Documents:</u> Microfilm copies of individual documents filed in Juvenile Court Proceedings	PERMANENT, or may be sealed, expunged or destroyed at the request of subjects who have cleared diversion requirements		Juvenile Court Services	GS50-28-03 RCW 13.50.050, Subsection 16 and 17	RCW 13.50.050, Subsection 16 and 17
	<u>Foster Care Files (Social file portion only)</u>	8 years after case closed or 3 years after individual reaches age 18, whichever is later then Destroy.	Secondary - destroy when obsolete or superseded	Clerk	SS50-28-07 GS50-28-07 RCW 13.34.136 and 13.34.232	RCW 13.34.136, and 13.34.231

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	Juvenile Court Case File Indexes: ESSENTIAL RECORD – Needs security microfilm backup	PERMANENT, or entries may be expunged at request of subjects who have cleared diversion requirements	2nd – destroy when obsolete or superseded	Clerk	GS50-28-09 RCW 13.34.105 and 26.09.220	Reference RCW 13.50.050, subsections 16 and 17. The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meet Washington State Archives technical standards.
	Juvenile Court Case Files	PERMANENT, or may be sealed, expunged or destroyed at the request of subjects who have clear diversion requirements		Clerk	CL50-28-10 p. 11 GS50-28-10 RCW 13.50.050 subsection 16 and 17	Reference RCW 13.50.050 subsections 16 and 17. The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meet Washington State Archives technical standards.
	Marriage Waiver Juvenile Services	5 years beyond age of 18		Clerk	S50-29-12 GS50-28-11 RCW 26.04.010	RCW 26.04.010
	Receipts: Records of monies received. *Note: DAN GS50-03B-08 was also assigned to TREASURER'S RECEIPTS (which has been changed to DAN CL50-03B-09.) 01/2009	6 years				Includes Detention
	Abandoned or Unclaimed Property Reports: Office copy of Report of Unclaimed or Abandoned Property sent to the Department of Revenue or unclaimed and undeliverable restitution transmitted in accordance with RCW 7.68.290. Reference to surrender to Department of Revenue should be recorded in case file. Does not include exhibits. Annual reports made to the Department of Revenue, listing those monies or items whose owners are unknown or who cannot be located.	6 years			CORE GS 55-05B-31 p. 108 RCW 63.29.170	RCWQ 7.68.290 (Detention Detainee Property) Includes Detention

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	<u>Dependency CASA (VGAL) Program Files:</u> Department working files containing medical/psychological reports, school records, notes, correspondence, recommendations and dependency documentation.	Retain for 5 years after individual reaches age 18 <i>then</i> destroy	Upon Closure of case files transferred to Records Management	Juvenile Court Services	SS50-28-13 Rev. 0 RCW 13.34 RCW 13.50.050(22) 13.50.100	
	<u>Dependency CASA Volunteer Case Files:</u> Files contain all notes from CASA, volunteer interviews, background research and final recommendations.	Dispose of when youth is 23 years of age	Upon Closure of case files transferred to Records	Juvenile Court Services	RCW 13.50.050(22)	
	<u>Dependency Volunteer (Red) File</u>	Dispose of 6 years after volunteer terminated from program	Upon Closure of case files transferred to Records Management	Juvenile Court Services	Current practice NO Authority	

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DETENTION						
	<u>Custody Investigations Juvenile Services:</u> Department working files containing copies of marriage and dissolution order, custody orders, petition and show cause orders, reports of custody investigations, together with medical psychological reports for other states.	5 years beyond age of 18; then destroy		Juvenile Court Services	SS50-28-02 GS50-28-02 RCW 26.09.220	RCW 26.09.220
	Detention Logs: Tracking Sheets, Transport (Movement) Slips.	6 years		Juvenile Court Services	SS50-28-04 GS50-28-04	These records should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identified the location of other copies inside and outside the agency.
	<u>Detention Roster Juvenile Services – Essential Record</u>	1 year		Juvenile Court Services	SS50-28-07 GS50-28-05 GS50-28-06*	These records should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identified the location of other copies inside and outside the agency. *Dockets produced by Juvenile Court - Permanent
	<u>Population Counts (Detainee):</u> Records documenting inmate population demographics, counts, or assignments. Includes, but is not limited to: Bed and housing assignments; Population census and reports; Ringdowns.	Retain for 3 years after date of report or entry			Archival (Appraisal Required) Non-Essential OFM	

GENERAL RECORDS COMMON TO DENNY JUVENILE JUSTICE CENTER – DETENTION

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	<u>Detainee Custody Files (Under Age 18):</u> Records documenting the custody of inmates under age 18. Includes, but is not limited to, documentation relating to: Admittance, booking, and transfer; Background data and history; Classification; Involvement in inmate programming; infractions and disciplinary hearings; Release and community corrections (probation, parole, etc.); Legal (court records, extradition authorization, victim notification forms, etc.)	Retain for 5 years after subject attains age 18 and 6 years after termination of incarceration then Destroy.			Non-Archival; Non-Essential OPR	
	<u>Investigation Records:</u> 28 CFR(g) Administrative investigations: (1) Shall include an effort to determine whether staff actions or failures to act contributed to the abuse; and (2) Shall be documented in written reports that include a description of the physical and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings. (h) Criminal investigations shall be documented in a written report that contains a thorough description of physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible. (j) The agency shall retain all written reports referenced in paragraphs (g) and (h) of this section for as long as the alleged abuser is incarcerated or employed by the agency, plus five years, unless the abuse was committed by a juvenile resident and applicable law requires a shorter period of retention.	Retain for 5 years after close of investigation then Destroy		Juvenile Court Services	85-04-35249	SOS WA State Dept. of Corrections Version 1.1

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	<u>Transitory Records: Detention Working Copies:</u> This category includes records that document information of temporary, short-term value, and provided that they are: Not needed as evidence of business transactions; and, not covered by a more specific record series. Examples: Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, holidays, etc.); Preliminary drafts of letters, memos, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of a record document(s); Routing slips used to direct the distribution of documents; Shorthand notes, stenotype tapes, and mechanical records after they have been transcribed into typewritten or printed form on paper or microfilm; Telephone messages (including voicemail, digital voice messages, etc.) Letters of transmittal which do not add any information to the transmitted materials.	Destroy when obsolete				

FOOD SERVICES

	<u>Meal Production Records</u>	4 years after end of federal fiscal year then Destroy		Juvenile Court Services	SD51-08-13 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Menus</u>	Retain until obsolete or superseded then Destroy		Juvenile Court Services	SD51-08-16 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Monthly Meal Count Reimbursement Report</u>	Retain 6 years after end of fiscal year then Destroy		Juvenile Court Services	SD51-08-08 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157

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FOOD SERVICES						
	<u>School Breakfast Program Plan</u>	Includes plan and backup documentation submitted to OSPI for program approval.		Juvenile Court Services	SD51-08-09 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Site Health Permit</u>	Retain until obsolete or superseded then destroy		Juvenile Court Services	SD51-08-10 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Food Handler's Permit/Food Worker Card</u>	Retain until obsolete or superseded then destroy		Juvenile Court Services	SD51-08-02 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Food Service Orders</u>	Retain for 4 years after end of fiscal year or until completion of State Auditor's examination report, whichever is sooner then destroy		Juvenile Court Services	SD51-08-03 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Health Inspections</u>	Retain until superseded then destroy		Juvenile Court Services	SD51-08-14 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157
	<u>Meal and Milk Count Reports and Documentation</u>	Retain for 4 years after end of the fiscal year or until completion of State Auditor's examination report, whichever is sooner then destroy		Juvenile Court Services	SD51-08-05 Rev. 1	RCW chapter 28A.235 & WAC chapter 392-157

APPENDIX

General Instructions: The retention schedule applies to records, whether in hard copy or electronic. A record may include email correspondence. The retention periods in this schedule should not be exceeded. Documents must be destroyed when their retention period is reached.

Source: (update needed)

Superior Court Records Management Guidelines and Procedures 2012 / State: Washington State Local Government Common Records Retention Schedule (CORE) Version 3.0 (November 2012) & Washington State Local Government General Records Retention Schedule (LGGRRS)

Clerk: County Clerks and Clerks of the Superior Court Records Retention Schedule Draft Ver. 7.0

Juvenile Courts and Services Draft Ver 1.0

Social Services Draft 1.1

District and Municipal Court Records Retention Schedule / Snohomish County Records Retention Schedules

Discretionary: A reference to the exact record does not exist in the above retention schedules.

Definitions:

"Administrative Working Files" are files containing informational copies of various records organized by issue, person, subject or other areas of interest. Files may include copies of records (not the official copy), correspondence and data used for general management.

"DWO" = destroy when obsolete or superseded. Something is obsolete when it has been replaced by a revised version or it is no longer of value.

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records, which may possess enduring legal and/or historical value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from the Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

WSA will not sample, weed, or otherwise dispose of records fitting the record series description designated as "Archival (Permanent Retention)" other than the removal of duplicates. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the Local Records Committee.

Essential Records

Public records that local government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

Non-Archival

Public records, which do not possess sufficient historic value to be designated as "Archival". Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in chapter 40.10 RCW.

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.

OFM (Office Files and Memoranda)

Public records, which have been designated as "Office Files and Memoranda" for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

- (1) "Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda."

Permanent – See **Archival (Permanent Retention)** and **Non-Archival**.

Potentially Archival or Potential archival value – See **Archival (Appraisal Required)**.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

Public Records

RCW 40.14.010 – Definition and classification of public records.

"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."